



UNIVERSITY OF WESTERN CAPE (UWC)

RESEARCH POLICY SECTION 3: THE ESTABLISHMENT, MAINTENANCE AND REVIEW OF RESEARCH ENTITIES

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WESTERN CAPE

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RESEARCH POLICY

SECTION 3: THE ESTABLISHMENT, MAINTENANCE AND REVIEW OF RESEARCH ENTITIES

1. Preamble

The University mandates the creation and development of specific research and creative entities, as specific and targeted vehicles for the furtherance of the objectives of the institution, as follows:

- 1.1 The generation and reporting of research and creative outputs.
- 1.2 The conversion of knowledge, through the generation of intellectual property and technology transfer, to business and industry, as a contribution to the growing knowledge economy.
- 1.3 Postgraduate training, particularly in the areas of scarce skills.
- 1.4 The elevation of the Institution's national and international status.
- 1.5 The enhancement of engagement with the community and to enhance the public awareness of academia and its activities and outputs.

It is noted that in 2007 the Academic Planning Unit of the University completed a set of *"GUIDELINES AND PROCEDURES FOR THE ESTABLISHMENT OF NEW ACADEMIC STRUCTURES AT UWC"* (Appendix I). These guidelines were subsequently approved by the University Senate and Council.

2. Objectives

A (partial) survey of 'research entities' at UWC indicates that there is little consistency across or even within Faculties in the designations and activities of such structures. In addition, other terminologies are also employed (e.g., division, program, collaborating centre, project), sometimes in an equally inconsistent fashion.

The objectives of this document are as follows:

- 2.1 To review the current status of 'research entities' within the University.
- 2.2 To provide a more detailed operational framework for research entities, specifically to complement and strengthen the APU Guidelines.
- 2.3 To highlight specific issues relating to research entities which are not addressed in the APU document.
- 2.4 To present recommendations for action to the University.

3. Definitions, Structures, Compositions

The APU Guidelines document (Appendix I) defines five formal structures that either undertake research or at least contain a research component. These are Departments, Schools, Institutes, Centres and Units. They are broadly differentiated on the basis of activity, size (staff and researchers), interdisciplinarity, performance and impact.

Of these, only Institutes, Centres and Units are fully or largely focussed on research. This document therefore restricts its analysis to these research-orientated structures, in so doing to present a more definitive separation between them.

Each of these structures may be defined by a range of criteria relating to composition, management, activity, income, performance etc, as defined below, and are presented in decreasing hierarchical order:

3.1. An INSTITUTE is a research structure which:

- 3.1.1 Will be active in a field which is closely aligned to the University's strategic research objectives.
- 3.1.2 Will exist in a field of substantial national and/or international interest.
- 3.1.3 Will be led by one or more University academics of considerable national and international academic standing.
- 3.1.4 Will have a clear and executable succession plan, in alignment with its expectation as a long-lived structure.
- 3.1.5 Should be staffed by more than one permanent member of academic staff.
- 3.1.6 Is expected to be active in both interdisciplinary and collaborative research, and to involve researchers from other national and international institutions.
- 3.1.7 Will attract a specified level of University support.
- 3.1.8 May, but is not required to, have an undergraduate teaching commitment.
- 3.1.9 Will engage at a consistently high level in postgraduate supervision, specifically at Masters and Doctorate levels.
- 3.1.10 As evidence of sustainability, must be capable of maintaining a high level of external research grant income.
- 3.1.11 Must be capable of sustaining a high level of productivity, both in terms of research outputs (publications, patents, prototypes, etc.) and postgraduate students.
- 3.1.12 May, though not necessarily, be independent of any Department.
- 3.1.13 Will promote inter-Departmental/Faculty collaboration.

3.2 A CENTRE is a research entity which:

- 3.2.1 Will be active in a relevant field of intellectual and/or applied study.
- 3.2.2 Should preferably be active in a field of national and/or international interest.
- 3.2.3 Will be led by an academic of considerable national/international academic standing.
- 3.2.4 May be staffed by more than one member of permanent academic staff.
- 3.2.5 Is not necessarily required to have a formalised succession plan.
- 3.2.6 Will not have an independent undergraduate teaching commitment.
- 3.2.7 Should engage at a consistently good level in postgraduate supervision, specifically at Masters and Doctoral levels.
- 3.2.8 As evidence of sustainability, must be capable of maintaining a good level of external research grant income.
- 3.2.9 Must be capable of sustaining a good level of productivity, both in terms of research outputs (publications, patents, prototypes, etc.) and postgraduate students.
- 3.2.10 Will be associated with a specific Faculty and/or Department.
- 3.2.11 Will typically be smaller (in most respects) than an Institute.
- 3.2.12 May, though not necessarily, be independent of any Department.

3.3 A UNIT is a research entity which:

- 3.3.1 Will be active in a field of intellectual and/or applied study.
- 3.3.2 Would typically be led by a single member of the academic staff who is an established researcher.
- 3.3.3 Is not required to have a formalised succession plan.
- 3.3.4 Will not have an independent undergraduate teaching commitment.
- 3.3.5 Should engage at a consistently good level in postgraduate supervision, specifically at Masters and Doctoral levels.
- 3.3.6 Must be capable of maintaining a good level of external research grant income.
- 3.3.7 Must be capable of sustaining a good level of productivity, both in terms of research outputs (publications, patents, prototypes, etc.) and postgraduate students.
- 3.3.8 Will be associated with a specific Department and Faculty.

4. Governance

- 4.1. Entities should be financially and otherwise sustainable and subject to general UWC policies.
- 4.2. At the point of formation, Entities will establish a governing structure which will be responsible for the management of the Entity and its activities. The sophistication of the governing structure will reflect the hierarchical level of the Entity. A model constitution for management of an Institute is appended (Appendix II).
- 4.3. Entities will be subject to regular performance reviews.

5. Establishment

- 5.1. Research entities will be established by consideration of a comprehensive 'business plan' by the established administrative structures of the University, typically by a Faculty Planning Committee, Faculty Board, Senate Research Committee, Senate and Council of the University.
- 5.2. The 'business plan' must present a well argued case for establishment of the entity in terms of the criteria laid out in sections 3.1 to 3.3.
- 5.3. The Director of the newly-established entity will normally be the individual responsible for its establishment, but the appointment is subject to approval from the appropriate Faculty and/or University committees.

6. Maintenance and Support

- 6.1. In general, research entities will be responsible for acquiring the additional resources necessary to maintain the activities of the entity.
- 6.2. The University will endeavour to support, through the respective Faculties if appropriate, a specified number of additional academic and/or technical posts in higher tier entities (Centres and Institutes), particularly at leadership and senior researcher levels.
- 6.3. Entities may recommend the payment of salary supplements to leadership and senior researcher positions in order to recruit and retain suitably qualified staff, using external funding for this purpose.
- 6.4. Subject to agreement, research entities will be entitled, through the research incentive scheme, to a percentage of the publication subsidy for publications authored by research staff whose posts are supported by external funding.
- 6.5. The University will seek to provide dedicated personnel and expertise to manage contract posts in research entities in an effective and efficient manner.
- 6.6. The University will seek to improve the effectiveness and efficiency of its financial management systems and procedures in relation to externally-funded research projects.

7. Review Processes

- 7.1. All research entities will be subject to a regular review process.
- 7.2. The review process will be undertaken at an interval of 5 years, or as part of a Department/School Review where applicable, or where deemed appropriate by the relevant Faculty or the Senate.
- 7.3. The review process will assess the performance of the entity against the criteria stipulated in sections 3.1 to 3.3.
- 7.4. Subject to these performance criteria, the review panel will make a recommendation for the continuation, or otherwise, of the entity.

8. PRINCIPAL RECOMMENDATIONS

- 8.1. The University should accept the above recommendations for the establishment and maintenance of research entities.
- 8.2. The University should review all existing research entities in order to establish consistency with respect to status.
- 8.3. The University should subject all research entities to regular review to determine continuing, including change of, status.
- 8.4. The University should review the performance of all relevant university administrative structures in their interactions with research entities, with a view to enhancing the level and efficiency of service provision.

Appendix 1. APU Guidelines Document of May 2007

GUIDELINES AND PROCEDURES FOR THE ESTABLISHMENT OF NEW ACADEMIC STRUCTURES AT UWC

1. Naming of Structures

Note: These are guidelines only, and there may be good reasons in certain specific instances for departing from them. Such reasons should be spelled out in the proposal for the new structure (see 2.1).

1.1 Department

'Department' is the normal term used for those academic structures that have the purposes of both teaching and research, excepting for those that have a very specific rationale for being called a school, institute or centre. Thus it is the default term for an academic structure of the University (regardless of whether it offers one or more than one discipline).

1.2 School

Schools within the University tend to be of two distinct types: They are normally (a) postgraduate structures of an interdisciplinary nature, whose purpose is to integrate the postgraduate teaching and research of a particular set of disciplines, or else (b) structures that have as their primary purpose the provision of professional education and training, and which are regulated by one or more professional bodies (unless these are whole faculties in themselves).

1.3 Institute

An institute is a structure that engages primarily in interdisciplinary research and teaching at the postgraduate level. It is typically smaller or more limited in scope than a school.

1.4 Centre

A centre is normally a structure that is focussed primarily on research. It is formed in order to provide co-ordination of research activities in some area and to raise the funds for that research. It is not normally a teaching structure.

1.5 Unit

The term 'unit' normally refers to a university structure that is not primarily a teaching or research structure such as a department or school. Thus it is most appropriate to use this term for university structures that are small and which provide a specialised service to the University, such as planning, outreach, development, advocacy, entrepreneurship, etc.

1.6 Division

The term 'division' is not often used to name university structures at UWC, but when it is its meaning is most similar to that of 'unit'. A division has a crosscutting function in relation to the University as a whole, rather than serving only one part of it. There was once a tendency to subdivide departments into divisions, but this is now discouraged.

1.7 Programme

A programme has been defined at UWC as 'a planned set of learning opportunities that is intended to lead to the award of a specific qualification'. Thus the term should normally only be used for university offerings, not for structures.

2. Procedures for the Establishment of New Structures

The following procedures are mandatory.

2.1 Any Faculty wishing to establish a new organisational structure should consult with the Human Resources Department (HR) to check that the design of the intended structure is in line with university policy and to obtain informed opinion concerning its likely staffing arrangements.

2.2 A proposal is recommended to the Senate Academic Planning Committee (SAP) from the Faculty's Academic Planning Committee via the offices of the Academic Planning Unit (APU). A proposal should include an academic rationale for the new structure, as well as its envisaged staffing and managerial arrangements, and it should be accompanied by draft standing orders if it is a School, Institute or Centre.

2.3 SAP makes recommendations based on the academic merit of the proposal. Proposals that are found to be academically meritorious are referred by SAP to HR for:

- (a) costing of the envisaged staff positions, and
- (b) comment on the appropriateness of the job titles and the roles associated with them, particularly their conformity with, or equivalence to, existing job titles within the University, and the lines of reporting and authority that they imply.

2.4 HR submits the documentation of 2.3 (a) and (b) to the APU, which will check that the required information is complete.

2.5 Having checked the documentation from HR, the APU will forward it to the Faculty Board for one of the following courses of action:

- (a) If the new structure is affordable within the faculty budget, the Faculty Board may decide to recommend the proposal, in either its original or in a revised form, and accompanied by the HR documentation, to the Senate Executive Committee (SEC) for approval.
- (b) If the new structure is not affordable within the budget of the faculty, the Faculty Board may decide to forward the proposal, again with or without revision, and with the HR documentation, to the Executive Management of the University for approval.

2.6 SEC recommends those proposals that have reached it through steps 2.1-2.5 to Senate for ratification.

3. Requirements for standing orders

Each new School, Institute or Centre of the University must have standing orders, which would normally include the following:

- Name and Status
- Aims and Objectives
- Management / Supervision*
- Advisory Board**
- Staffing and Appointments

- Financial Administration
- Annual Report
- Quality

A copy of the approved constitution should be submitted to the Office of the Registrar for record keeping

Notes:

* This section should spell out the role, functions and accountability of the Director, Chairperson or Head, as well as those of a Management Committee, if the latter should be required.

** If applicable. Note that academic structures should *not* in most instances require an Advisory Board, since they are normally governed by the faculty in which they are located.

APU
11.05.07

Appendix II.
Example of Institute Constitution

1. Name

The Institute will be called the Institute for <name> (hereinafter referred to as <name>).

2. Mission

The Mission of the Institute will be:

- 2.1 To provide high quality, internationally accepted research training in the field or 'subject';
- 2.2 To provide human resource development in the area or 'subject';
- 2.3 To perform cutting edge research in the area or 'subject'; and
- 2.4 To enhance the status of UWC and South African research through the above.

3. Objectives

The Objectives of the Institute will be:

- 3.1 To satisfy the stated mission of the Institute;
- 3.2 To establish sources of renewable funding;
- 3.3 To build national and international recognition for the Institute;
- 3.4 To contribute to the national academic community;
- 3.5 To contribute to the national objectives of human resource development through the training of candidates from historically disadvantaged groups; and
- 3.6 To broaden national and international collaborative linkages.

4. Finance

- 4.1 All monies received by, on behalf of, or as a result of, the activities of the Institute shall be deposited in the University of Western Cape (hereafter known as 'the University') account designated for 'The Institute'.
- 4.2 The University will be the direct beneficiary of the funds contemplated in 4.1 above.
- 4.3 The University procedures for the processing of financial disclosure, auditing and accountability will be followed.

5. Funding

- 5.1 The Director of the Institute will be responsible for seeking funding for the facility from research funding agencies, commercial and other sources as the Director sees fit, and all such all sources of funding will be disclosed *via* publication of the budget presented to the Management Board.
- 5.2 Funds will be utilised by 'The Institute's' grant holder(s) according to the procedures required by the funding body as outlined in any grant agreement made between 'The Institute', the University and the granting body; grant holders will be defined as the persons to whom responsibility is assigned for grants made to 'The Institute'; funds will be utilised using the entity number system provided by the University; and no grant will be negotiated on behalf of 'The Institute' without the full knowledge and/or participation of the Director of 'The Institute'.
- 5.3 Planning and justification of purchases and budget will be presented in writing to the Management Board as outlined below.
- 5.4 'The Institute' will be a 'not-for-profit' Institute attached to the Faculty of <name> at the University of the Western Cape.

6. Status

'The Institute' will be a University Institution as part of the Faculty of <name>, and will be accorded all the rights and privileges by the University of the Western Cape and the Faculty as befit its status.

7. Personnel

Except where specifically approved by the Dean of the Faculty of <name>, all employees at 'The Institute' will be funded at full cost by funds raised by the Director, will be employees of the University and will be entitled to employment contracts and benefits negotiated with the University.

8. Management

- 8.1 Day-to-day management of 'The Institute' will be performed by a Management Team, comprising the Director (as Chief Executive), the Senior Administrator, the Deputy Director (when appointed) and a representative of the Senior Research staff of the Institute.
- 8.2 The Institute will be overseen by a Management Board.
- 8.3 The role of the Management Board will be to provide overall guidance, advice and direction to the Institute.
- 8.4 The Management Board will be composed as follows:
 - 8.4.1 The Rector of the University or his/her representative;

- 8.4.2 The Executive Director of Finance or his/her representative;
 - 8.4.3 The Dean of the Faculty of <name> or his/her representative;
 - 8.4.4 The Chairperson of the Department of <name>;
 - 8.4.5 Two members from the Board of the Faculty of <name> designated annually by such board;
 - 8.4.6 A maximum of four persons who are members of the international and South African professional community, bi-annually designated by the Management Board;
 - 8.4.7 The Director of 'The Institute'; and
 - 8.4.8 One of the persons contemplated in 7. above, designated annually by such persons.
- 8.5 At its first Management Board meeting, the Management Board will elect a Chairperson.
 - 8.6 The term of office for the chairperson will be 3 years and he/she will be eligible for re-election.
 - 8.7 All members of the Management Board shall have equal voting rights, however ties in voting will be decided by the casting vote of the Chairperson.
 - 8.8 Authority for approval of policy and acceptance of reports will be vested in the Management Board.
 - 8.9 The Management Board will meet at least once every calendar year, provided that members of the Management Board will be deemed to be present and able to vote if they are not present *via* electronic/ telephonic means and are able to make real time responses and input into the meeting.
 - 8.10 A quorum at meetings of the Management Board will be constituted by 50% plus 1 of its members.

9. **Staffing Appointments**

- 9.1 Non-academic staffing appointments will be made by selection and approval of 'The Institute' Management Team and ratified, where necessary, by the Faculty Appointments Committee.
- 9.2 Academic staffing appointment candidates will be chosen by a candidate approval committee made up of the Management Team of 'The Institute', a selection of members of the Management Board (designated by the Board), and other University representatives as may be required for appointment processes,

provided always that all recommendations by the candidate approval committee must be made to the University *via* the Faculty Appointments Committee.

- 9.3 A suitably qualified and experienced person will be appointed by the University as Director of the Institute after the Management Board has submitted its recommendations to the Appointments Committee of the Faculty of <name> who, in turn will submit its recommendations to the Joint Appointment Committee of Senate and Council.

10. **Post-graduate Students**

All post-graduate students in the Institute will be registered through the Department of <name> and the formal processes of registration, progress reporting, examining and submission will be *via* the Departmental Higher Degrees Committee and thence the Faculty Higher Degrees Committee.

11. **Responsibilities of Director**

- 11.1 The Director will be responsible for achieving the objectives as defined in this Constitution.
- 11.2 Staff appointed to the Institute will report to the Director.
- 11.3 The Director will report on the operation of the Institute to the Dean of the Faculty of <name>.

12. **Amendment**

This Constitution may only be changed, amended or repealed by a resolution passed at any meeting of the Board, provided no such resolution shall be deemed to have been passed or have any force and effect unless it:

- 12.1 has been carried by more than 66% of the members of the Board present and voting at the meeting; and
- 12.2 the resolution is subsequently approved by the University Senate and Council.

